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DECLARATION FOR UTILITY OR DESIGN
PATENT APPLICATION
(37 CFR 1.63)

OR

☑Declaration Submitted With Initial Filing Declaration
Submitted after Initial
Filing (surcharge
(37 CFR 1.16 (e))
required)

Attorney Docket Nun	nber	36287-03801			
First Named Inventor		SPIELER et al.			
cc	MPL	ETE IF KNOWN			
Application Number	10/644,281				
Filing Date	August 20, 2003				
Group Art Unit	3624				
Examiner Name	TBA	\			

As a below named inve	entor, I hereby declare tha	at:					
My residence, post office address, and citizenship are as stated below next to my name.							
I believe the inventor(s) named below to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled:							
SYSTEM AND METHOD FOR MANAGER ENHANCED RETURN ON COLLATERALIZED DEBT OBLIGATION TRANSACTIONS							
	(Title of th	e Invention)	ESCH				
the specification of which							
is attached hereto							
OR							
was filed on (MM/DD/	YYYY) [as United States App	plication Number o	PCT International			
Application Number	and	was amended on (MM/DD/Y)	(YY)	(if a	pplicable).		
	I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims as amended by any amendment specifically referred to above.						
acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.							
I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 385(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 385(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or of any PCT international application having a filing date before that of the application on which priority is claimed.							
Prior Foreign Application		Foreign Filing Date	Priority	Certified Copy A	ttached?		
Number(s)	Country	(MM/DD/YYYY) Country	Not Claimed	YES	NO		
Additional foreign applicat	ion numbers are listed on a su	oplemental priority data sheet	PTO/SB/02B attac	ched hereto:			

[Page 1 of 3]

The collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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DECLARATION — Utility or Design Patent Application

<u></u>								
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Chi	ris L. Holm							
Name Mill	oank, Tweed,	Hadley & McClo	y LLP					
		·						
Address 1 C	hase Manha	tan Plaza						·····
City Nev	w York		State	NY			ZIP	10005-1413
Country US	A			Telephoi	ne (212)	530-50	00	Fax (212) 530-5219
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.								
NAME OF SOLE OR FIRST INVENTOR: A petition has been filed for this unsigned inventor								
Given Name Christian Family Name SPIELER or Surname							:R	
Inventor's Signature	m &					Date (j 4	November 2003
Residence: City	FRAME	FURT	HESS State	EN	GEA Coun	ZNAV try	7	Movembe 2003 GERNAN Citizenship
Mailing Address	BRIA	NORIN	'G	26				
City FRAN	KFUPT		HES State	S.EN	60 S	598	(GERMANY Country
NAME OF SEC	OND INVENT	ron: Ap	etition h	nas been	filed for th	is unsig	ned i	inventor
Given Name (first and middle		nathan			amily Nam r Surname	-	SLA	ΓER
inventor's Signature						Date		
Residence: City			State		Coun	try		Citizenship
Mailing Address								
City			State		Zip		(Country

Country

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DECLARATION — Utility or Design Patent Application Direct all correspondence to: Customer Number Correspondence address below 27171 OR or Bar Code Label Chris L. Holm Milbank, Tweed, Hadley & McCloy LLP Name 1 Chase Manhattan Plaza **Address** City New York NY ZIP 10005-1413 State Telephone (212) 530-5000 Country USA Fax (212) 530-5219 I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon. NAME OF SOLE OR FIRST INVENTOR: A petition has been filed for this unsigned inventor Family Name **SPIELER** Christian Given Name or Surname (first and middle [if any]) Inventor's Date Signature Country Citizenship Residence: City State **Mailing Address** City State Zip Country NAME OF SECOND INVENTOR: A petition has been filed for this unsigned inventor SLATER Jonathan **Family Name** Given Name (first and middle [if any]) or Surname Inventor's Date 4 MULMBER 2003 Signature BRITISH ENGUANO -0000 N State Country Citizenship Residence: City 17 ANHALT RP. **Mailing Address** ENGLAND SW114N2 LOWON

[Page 2 of 3]

State

City

NAME OF THIRD INVENTOR: A P	etition has be	en filed for	this unsigne	d inventor
Given Name Brigitta (first and middle [if any])		Family Na or Surnan		ALISCH
Inventor's Signature			Date	
Residence: City	State	Cou	ntry	Citizenship
Mailing Address				
City	State	Zip		Country
NAME OF FOURTH INVENTOR: A p	etition has be	en filed for	this unsigne	d inventor
Given Name Jonathan (first and middle [if any])	:	Family Na or Surnan		AMS
Inventor's Signature	ricercia Trices	A SETTING	Date /	6/3/04
		USA		US
Residence: City	State	Cou	ntry	Citizenship
Mailing Address			**	
				USA
City	State	Zip		Country

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co	MPLI	ETE IF KNOWN		
Application Number	10/644,281			
Filing Date	August 20, 2003			
Group Art Unit	3624			
Examiner Name	ТВА			

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SYSTEM AND METHOD FOR MANAGER ENHANCED RETURN ON COLLATERALIZED DEBT OBLIGATION TRANSACTIONS								
	(Title of the	e Invention)						
the specification of which								
is attached hereto		•		•				
OR ·		·						
was filed on (MM/DD/	YYYY)	as United States App	lication Number or	PCT International				
Application Number	Application Number and was amended on (MM/DD/YYYY) (if applicable).							
I hereby state that I have revier any amendment specifically re	wed and understand the conter ferred to above.	nts of the above identified spe	ecification, including	the claims as am	ended by			
applications, material informati	I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.							
breeder's rights certificate(s),	penefits under 35 U.S.C. 119(a or 365(a) of any PCT internati v and have also identified belov or of any PCT international ap	ional application which design we by checking the box any for	nated at least one preion application(s	country other than) for patent, invent	or's or plant			
Prior Foreign Application		Foreign Filing Date	Priority Not Claimed	Certified Copy	Attached?			
Number(s)	Country	(MM/DD/YYYY) Country	Not Claimed	YES	NO			
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DECLARATION — Utility or Design Patent Application

Direct all cor	respondence to:	Customer Nu or Bar Code L		27171		OF	₹ 🗵	Correspondence address below
	Chris L. Holm							
Name	Milbank, Tweed	, Hadley & McC	Cloy LLP					
Address	1 Chase Manha	ittan Plaza						
City	New York		State	NY			ZIP	10005-1413
Country	USA			Telephone	(212)	530-5	000	Fax (212) 530-5219
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.								
NAME OF	NAME OF SOLE OR FIRST INVENTOR: A petition has been filed for this unsigned inventor							unsigned inventor
Given Name Christian Family Name SPIELER or Surname						ER .		
Inventor's Signature						Date	!	·
Residence:	City		State		Coun	try		Citizenship
Mailing Add	dress			· .				
City			State	· ·	Zip			Country
NAME OF	SECOND INVEN	ITOR:	A petition	has been fi	led for th	nis un	signed	inventor
Given Nam (first and m	e niddle [if any])	Ionathan			mily Nan Surname		SLA	TER
Inventor's Signature						Date	e	
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City			State	e	Zip			Country

NAME OF THIRD INVENTOR: A pe	etition has bee	en filed	for th	is unsigned	d inventor
Given Name Brigitta (first and middle [if any])		Family Name WALISCH or Surname			
Inventor's Signature				Date	10-11-03
Residence: City	State	۲	Count	UK	German
Mailing Address 33 Savile To	lo ω				
city London	State		Zip	W15 3P2	Country UK
NAME OF FOURTH INVENTOR: A po	etition has bee	en filec	d for th	is unsigne	d inventor
Given Name Jonathan (first and middle [if any])			ly Nam irname		AMS
Inventor's Signature				Date	
			USA		US
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[Page 3 of 3]

I hereby appoint:

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	Application Number	10/644,281
	Filing Date	August 20, 2003
	First Named Inventor	SPIELER, et al.
	Group Art Unit	3624
	Examiner Name	TBA
	Attorney Docket Number	36287-03801

☐ Practitio	ners at Cu	stomer N	Number 27171				
or. ⊠ Practitio	ner(s) nan	ned belov	w:				
	Name Registration Number				Name		Registration Number
Christop	her E. Chals	sen	30,936		Claire A. Gilmar	rtin	51,735
Rob	ert J. Koch		26,637		Jay I. Alexande	эг	32,678
Micha	el M. Murra	,	32,537		Robert W. Busby	, Jr.	40,930
Erro	B. Taylor		39,853		John J. Yim		47,197
Frede	rick M. Zullo	*	32,452		Einar Stole		47,272
Joh	n M. Griem		40,005		Christopher M. G	uest	48,515
Lawn	ence T. Kass	•	40,671		Jennifer L. Ove	rly	51,197
Jame	s R. Klaiber		41,902		Lisa Coward		44,091
Chi	ris L. Holm		39,227		Kimberly N. Van Vo	oorhis	48,009
Christo	pher J. Gasp	ar	41,030		Marc D. Peter	8	46,988
Fran	nk A. Bruno		46,583				
☐ The abo	ove-mentic	ned Cus	dence address for the about the stomer Number. ith Customer Number:	27171			
☐ Firm or	ıal Name	Milbanl	k, Tweed Hadley & McClo	y LLP			
Address							
ddress		1 Chas	e Mahattan Plaza				
ity		New Yo	ork	State	NY	ZIP	10005-1314
country		United	States		•	•	
elephone		(212) 5	30-5000	Fax	(212) 530-52	19	
_	e of record o		re interest. See 37 CFR 3.71. 3(b) is enclosed. (Form PTO/S	, B/96).	•		
•			SIGNATURE of A	oplicant or A	ssignee of Recor	- 	
Name	Christian	Spieler			,		
Signature	Char	And I					
Date	400	Nove	ember 2003				
		inventors	or assignees of record of the	entire intere	t or their represen	tative(s) are	required. Submit multiple forms
nore than one	signature is	required.	see Delow".				

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any Comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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First Named Inventor	SPIELER, et al.
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Examiner Name	TBA
Attorney Docket Number	36287-03801

	point:			 -			
☐ Practition	ners at Cu	stomer N	Number 27171				
☑ Practition	ner(s) nan	ned belov	w:				
١	Name		Registration Number		Name		Registration Number
Christoph	ner E. Chal	sen	30,936		Claire A. Gilmartin		51,735
Robe	ert J. Koch		26,637		Jay I. Alexander		32,678
Michael M. Murray Errol B. Taylor Frederick M. Zullow		y	32,537		Robert W. Busby, Jr.		40,930
			39,853		John J. Yim		47,197
		w _]	32,452		Einar Stole		47,272
John M. Griem			40,005		Christopher M. Guest		48,515
Lawrence T. Kass		•	40,671		Jennifer L. Overty		51,197
James	R. Klaiber		41,902		Lisa Coward		44,091
Chris L. Holm			39,227	K	imberly N. Van Voorhi	6	48,009
Christopher J. Gaspar		ar	41,030		Marc D. Peters		46,988
Frank	A. Bruno		46,583				
The addr OR Firm or Individua			th Customer Number: 2	7171 LLP			
ddress							
ddress		1 Chase	e Mahattan Plaza				
City New Y		ork	State	NY	ZIP	10005-1314	
Country		United	States		•		
Telephone (212) 5		30-5000	Fax	(212) 530-5219			
I am the: Applicant			e interest. See 37 CFR 3.71.	96).			
-	e under 37	CFR 3.73	(b) is enclosed. (Form PTO/SB/S				
-	e under 37	CFR 3.73(SIGNATURE of Appl	icant or As	ssignee of Record		
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Certificate Name	Jonathar	Slater	SIGNATURE of Appl	licant or A	signee of Record		
Certificate Name Signature Date	Jonathar	Slater S.V. + NOV inventors required, s	SIGNATURE of Appl			o(s) are r	equired. Submit multiple forms i

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PTO/SB/81 (8-03)

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oR ☑ Practitioner(s) r	amed belov						۳
Name		Registration Number		Name	-	Registration Number	4
Christopher E. C	nalsen	30,936		Claire A. Gilmartin		51,735	4
Robert J. Ko	ch	26,637		Jay I. Alexander		32,678	4
Michael M. Mu	пау	32,537		Robert W. Busby, Jr.		40,930	4
Errol B. Tayl	or	39,853		John J. Yim		47,197	_
Frederick M. Zu	illow	32,452		Einar Stole		47,272	_
John M. Grie	m	40,005		Christopher M. Guest		48,515	<u> </u>
Lawrence T. K	ass 🔭 🗀	40,671		Jennifer L. Ovérty		51,197	Lhurei
James R. Klai	ber	41,902		Lisa Coward		44,091	
Chris L. Hol	n	39,227	K	imberty N. Van Voorhis		48,009	<u> </u>
Christopher J. G	aspar	41,030		Marc D. Peters		46,988	1 ~ 1, 1
Frank A. Bru	10	46,583				<u> </u>	17.96.
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☐ The above-men	ntioned Cus sociated wi	th Customer Number:	27171	application to:	*****		
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☐ The above-mer OR ☐ The address as OR ☐ Firm or	sociated wi	storner Number.	27171	application to:			i i i ti
☐ The above-meror OR ☐ The address as OR ☐ Firm or Individual Nam	ntioned Cus sociated wi	storner Number.	27171	application to:			1.127-1
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☐ The above-meron ☐ The address as OR ☐ Firm or Individual Name Address Address City Country Telephone ☐ am the: ☒ Applicant/Inventor ☐ Assignee of recomposes	ntioned Cus sociated wi Milbank 1 Chas New Yo United (212) 5	storner Number. ith Customer Number: k, Tweed Hadley & McCloy se Mahattan Plaza ork States 630-5000	27171 LLP State	NY	ZIP	F	1.127-1
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Lawrence T. Kass	40,671	Jennifer L. Overly	51,197
James R. Klaiber	41,902	Lisa Coward	44,091
Chris L. Holm	39,227	Kimberly N. Van Voorhis	48,009
Christopher J. Gaspa	ar 41,030	Marc D. Peters	46,988
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